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#2B

TRANSMITTAL AND DOCUMENT RECEIPT

HSCA

TO:	FROM:
Mr. Michael Goldsmith Select Committee on Assassination House of Representatives 3381 House Annex # 2 2nd & D Street, S.W.	Office of Legislative Counsel Central Intelligence Agency Room 7 D 35 Washington, D.C. 20505 26 Jun78

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CONTROL NUMBER	DOC. DATE	SUBJECT (Unclassified preferred)	CLASS.
		Notes of Wolf and Goldsmith (HSCA request (Wolf) 26 Jun 78 0001742 -0001761	SECR
		Information on 201 files HSCA request (Wolf_ 26 Jun 78 0001762 -)0001781_	SECRE

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19570

RECEIPT

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FORM 3772B
9-76

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10145-10287

SECRET

Briefing 2/14/78

Bill Donnelly - Chief of Information Services Staff
Mike Cuffy?
[Lee Coyle
Virginia Torres]

Opening of 201
Operational interest
Trace would be conducted → bring together existing materials → open 201
Trace produces computer printout w/ refs., not documents. In early '60's, it produced index cards.
Who opens 201?
Case officer - it's his judgement which determines whether of
If no intention of continuing interest, 201 may not be opened.
If its an Am. & info. comes from a source such as FBI, CIA may not open a 201.
If this type of info. comes in, it would go into index
There are certain criteria
1) Recruitment
2) High-Level Communist officials

There are some operations which are run out of headquarters, in which case, a case officer is involved.

PRQ. Pt. I - bio info
Pt. II - more extensive
- might [illegible] op. involvement

There should be a doc. indicating reasons why a part. person is not recruited.
There should be a reference in 1st file to document in 2nd file if there is one.

0001742

③

Central Cover Staff

CIA – State Dept. integration
"Fig leaf" cover – where S.D. employees are aware that CIA emp. is in fact employed by
More integrated cover where a person would do a full-time S.D. job & also not
a CIA job which is unbeknownst to rest of S.D. employees. — could be
a "deep official cover" as well as a "deep cover"

Am. citizens or most foreigners being used in some manner would, as a general rule, have a security check.
If that person was an official of another govt. agency or from military, that org. would have to be consulted.
Probably would use that org.'s

PCS – Policy & Co-ord. Staff
↳ would be involved in co-ord. of a project in which both the CIA & another org. was involved
To the extent of CIA involvement, files would be maintained. That is not to say that the other would not have more comprehensive files.
Project file

Graphics–

OCR

OCR – Office of Central ~~Registry~~ Reference – part of NFAC photos of ships, things of intelligence nature are maintained there.
Photos of prominent persons – eg. Brezhnev
Photos of tourists or random groups would not be of interest

Finance Office Vouchered / Unvouchered Funds

P & L : Prescribed & Limited – refers to communications which are compartmentalized
Opening of P & L channel of comm. is determined by one of 3 persons — Chief of PCS, ADDO, or DDO

0001744

(4)

This has always been true — In earlier times, it may have been restricted by even fewer persons.
P&L communication may, in time, be downgraded; may never be destroyed.

Is it possible, in context of a CI threat, in case of our hypothetical that info. would not be compiled in a 201 file? Yes, it is conceivable that many docs. could exist in the system & not be compiled into a 201 if there doesn't appear to be a reason for a 201

Pseudo: false name used for purposes of communication
Crypto: Used to id. area of ops. by digraph, followed by group of letters
You cannot assign a cryptonym w/out having a 201 #

If hypo. Am. soldier who has given away mil. secrets & then defects, a 201 file would not necessarily have been opened — it might be a mil. matter.
CI staff may have had interests in defector
In early 60's, there was an interest in defectors.

Dan's hypo based on ZRRIFLE:
574 A form: request to put doc. into system
? 1897 " : " " " " into index
In op. such as ZRRIFLE docs. may be severely P&L — might never go into system except upon determination of officer handling case.

"Sleeper agent" hypo: to run 2 or 3 sleepers in Comm. China [[station there] 24]
doesn't necessarily have to know of it since it is being run from Hqtrs. — from DDP to CI Staff — reasonable scenario

Would a 201 be opened on sleeper?
Competing ' of secrecy vs. being able to keep track of sleeper

Change of sleeper to Am. soldier defecting to E. Germany; — no 201 opened — C.O. in E. Ger. — report comes in
of from reliable source stating that sleeper is providing info.

Y/MC

SECRET

(4)

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SECRET 0001745

(124)

(5)

Plans would take place in small room in CI Staff.
Form must be signed by DDO — would be put into op. file on the subj.
Op File would be held at CI ~~staff~~ ~~desk~~ or at action desk.
Problems : Communication
: Equipment

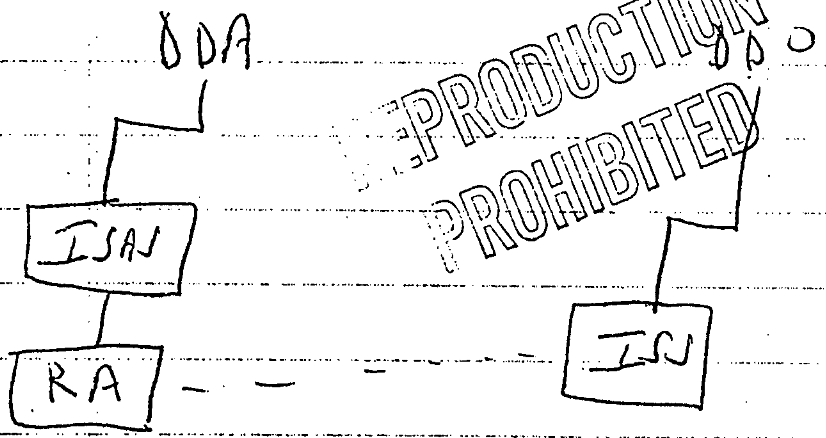
Op. files can generally be destroyed according to guidelines.

Is it possible for someone to have both a 201 file & ~~then~~ Personnel File? yes

1/26/78: 70 w/ Fratts

Records Administration – helps diffe Directorates set up
- Bruce Johnson records sys
+ George Fratts

RID – defunct designation for part of Info Services staff wh handles DDO records



DDO has a filing sys unto itself

Any DD can call upon RA to give assistance. But DD can also design its own filing sys so long as RA's legal guidelines are followed. But RA usually is informed of how the other filing sys work.

Day to day maintenance of files is decentralized.

ISS central sys is also heart of indiv division (i.e. area) systems.
- for items of record value

Special materials might not go into central file. ie Special Correspondence.

000747

"Prescribed & Limited" info
- highly sensitive info - limited distri to certain indivs
Designation as P&L is made by DDO & senior staff officer

P&L designation - deep cover agent in hostile territory might receive this designation.
- this P&L designation would not be uncommon for cases of this kind.

10 or 15 yrs ago, w/ super sensitive operations, this was relatively common.
* Possi for something to be so sensitive that no 201 file is assigned.

CI staff has gone over accumulation of many yrs & is now catching up to place names in central index.

possi ~~to~~ that situations occur where a P&L file is no longer possible to locate.
- lost, destroyed, archived.

Could open 201 file w/o giving indication of prior assoc w/ CIA. This, according to Johnson, would be irresponsible.

0001748

George Fraser
"

Cryptonym would be in 201 file.

201 - need for a continuing interest in order to open a file.

source
asset
adversary
KGB
(sexual collaborator)

Counterintelligence threat
→ 201 file would be opened w/i matter of days or a wk – assuming source is accurate.

i.e. an American serviceman ~~given~~ in Germany who is giving info to Russians.

To locate where documents were filed prior to being placed in file, refer to abstract sys under document #.

If ~~Slav~~ American soldier in Ger is actually sleeper who w/ POL - no 201 file & ~~open~~ # assigned to him, it is possi. that his ~~co~~ case officer would prevent opening of a 201 file #.

(application to intelligence agencies) → Intragency source register exists → avoids poss. of > 1 agency using same agent.

Graphics index – will not contain routine pictures of tourists or groups

201 files will not nec'ly contain pictures.

See next page

There is no (centralized) name index correlated to graphics

– Rest ... not contain, but did say ... this info would not be retained for record purpose.

possi for 201 file not to contain crypt.

deepcover – these people did have 201's in their true name.

201's are not opened in pseudonym

Bob Barton.

There is only ... version of a 201 file – no copies. Local offices have working files.

Files other than 201

subject files – particular target.

project files

policy + mgmt –

SECRET

Project files
└ for every project ~~run~~ ~~by~~ in wh Agency, is involved, even if project run by another org (i.e. DOD).

cover staff - involved in creation of cover.

of ~~people~~ involved in setting up deep cover ~~plan~~ would be at least 12.
— unless you slave to DOD

such ~~co~~ deep cover programs do exist.

There is a central listing of cryptonyms. From this list you get true name, then go to 201 file if there is one.

staff personnel
└ no duplicates of 201's

"agent file will include trail of procurations."

There is no back filing sys by true name, pseudonym, crypt, & 201.

There is no ~~pers~~ staff officer or asset filing indicating what operations/projects the staff officer/asset was involved in.

continuous employee relationship w/ US govt.

Case officer = SA in FBI
Contract or support capacities
agents paid or unpaid people who are controlled by CIA.
agent & asset may be the same.
asset is not necessarily an agent bec asset is not always controlled

source = provider of info
asset - ~~may~~ someone who may provide a service or info.

Name ck process - procedure to learn what is known about a person.
- involve a ck of the files
results would go into 201 file if there is one.

201 files are generally in sequence.

Name cks are always done w/ opening of 201.

True id may be kept out of 201, & it would be worked in cryptonyms

There is a centralized filing sys by true name, pseudonym, crypt, + 201 #.
– called a true name index.

[Sec [illegible] re [illegible]ing its dual filing sys]

Fretas
201
subject - countries, projects

exist for all projects that CIA is involved in.

Finance - support, receipts,
there will be a crypt file
Logistics - automobiles, clothing, supplies
Communications - ~~cables~~ chrono file on cables; microfilmed.
Security - security file; under pseudonym
personnel - file on applicants + agency employees
for agents - 2 file in office of security
Overt
Covert
biog data, results of sec. investigation, assignments,

anything that he does when he's overseas i.e. writing a dispatch
~~projects~~ assignments listed * in sec file.

Medics - medical histories on all staffers + some agents if they can get it.
psych profile

training - agents, mgrs, secretaries, officers

ODP (office of data processing) - put log programs used by agencies to those programs which to compile,

SECRET

Betsy Wolf

CIA Briefing - January 26, 1978

Records Admin. Branch - w/in DDA

RID → subsumed into ISS. Inf. Services Staff - only DDO

DDA
|
ISAS - Info. Systems Analysis Staff
|
Records Admin. Branch

Can be used for any level w/in any Division, but anyone can design their own systems, providing they inform RAB so that they can monitor compliance.

"Family Jewels Collection":

Highly sensitive & compartmented info. tends to be diverted from central records.

Guidelines for handling & maintaining secret but not for completing "bigot list" emphasis on limiting access.

↳ P & L

0001755

p.2

"Prescribed & Limited" Distribution (P&L): doesn't cover files but info., communications

"Sleeper" hypo: Operation could have been so sensitive as to be kept out of filing, indexing system, particularly 10-15 years ago.

May have been handled out of front office; may not have even used 201 file #.

201 #'s: assigned by ISS; were assigned by RID 10-15 yrs. ago

Files were not designated "P&L", but were "restricted" to confined jurisdictions

Cryptonym assignment: part of ISS - Central Top Secret & Cryptic Reference Staff

"Sleeper" would have to have a cryptonym for op. purposes. Would list cryptonym w/201 # → ∴ no name, not in STAR system

Bob Bertone - Basis for opening a 201 file:

Some sense of "continuing interest" either as a potential source, agent, KGB official - can be either for operational or counter-intell. purposes

Could be either to consolidate several references in STAR system

Could be opened in response to one reference - Ex.: 1 credible source ref. to some suspected KGB person

201 could be opened in a matter of hrs., days or weeks if someone recognized info. of significance on part. person

"Files content listing" - supplemental listing from STAR system

when did system start? Abstract system of STAR: could find prior references to a part. document

routine in '60's

p.3

Central Source Register

Ask Grigg for details — Interagency Source Register: in effect probably since beg. of CIA (of Intelligence Agencies) — doesn't include regular personnel — only assets — would be based on true names — wouldn't contain sensitive sources

201 files would not necessarily contain a photograph. Even if photo existed, it may not have been in 201 file but may be x-ref. to a specific desk.

Graphics collection in DDI

Ask Grigg — Indiv. desks will collect photos of persons of interest
→ may contain photos of terrain, etc. Not particularly interested in group pics, etc.

Listing of assets — would be maintained in a working manner at separate desks.

Ref. Grigg — DDO would be only place where there would be access to this type of listing.

By & large, no 201 files on employees, unless there was an op. interest prior to employment → Official Personnel File

Opening docs. of 201 files would contain refs. to clearance papers (which would be maintained in Sec. Office)

Emp. under deep cover → Staff Agent — his files would be converted & would appear under his pseudonym.

Don't open 201's on pseudonyms, but would open one on cryptonyms.

0001757

p.4 Only 1 copy of a 201 file; may be a working field copy

Subject files:
Project files:
Policy & mgmt. files

Project file: operational mgmt. record of a given project
A. Administration
B. Support
C. Production

201 would have info. on asset involved in project; project file's info is on operation itself.

See Gregg Operational Details

Central list of cryptonyms - where they're registered - you can match the cryptonym with the true name. The more sensitive the asset or operation → the more difficult it will be to get to true name.

Hard file: Official information
Soft file: includes working papers - anything of record value in soft file would be included in hard file.

? Project files: where are approval, decision-making records filed?

Personnel File contains: where worked; supervisor's name; type of work done; evaluations
Does not contain specific operations in which employee was involved.

0001756

p.5

Employees
↳ Case officers – intelligence officers

Contract employees
Agents: may or may not be paid represent assets who are under their control
Asset: someone from whom they can get useful services, including
Source: Source of information

Ask Gregg PRQ: Basic biog. info.
Way of ordering available info.
Fundamental doc. in an agent's 201 file.

Name check (= trace) process includes check of following:
STAR trace
Travel files
Office of Security
Provisional Oper. Approval
Also do name checks for other agencies

Negative AM/LASA name trace –
Green check list:

p.6 George Fratas

Subject Files: countries, projects, misc.
201 Files: individuals

Would be a matter of routine to maintain files on another operation originating in another agency.

Agent:
201:

Office of Security
" of Finance:
CI Staff might have info.

Finance: accntgs., vouchers, receipts; will have a cryptonym file
Logistics: support - autos, clothing, etc. necessary to run operations
Communications: cables, telegraphs
Maintain a chrono. file on cables - on microfilm
Cables are logged in w/ a number, date, station

Security: Security files - listed under pseudonym if an agent
" " true name if an employee

Started to eliminate dual filing @ mid-'60's

Agents - 2 files - each with the same #
Overt - true name Covert - pseudonym - listed in index

Ask DDO - Would an agent ever operate under a pseudonym

If it has pseudonym → he is in file
(overt) True name: biog. data, results of bckgrd. check, security violations & assignments
(covert) Pseudonym: Contains everything the person did = lists where

p.7

he worked, what he did, etc.

If an agent, it would have a PDA for each project the agent was involved in.

If a staff employee it will only have a list of assignments.

Medics: Medical histories on all staffers; on agents if they can get it
Psychological profiles

Training: Train agents, mgrs., secys., officers
Run all training centers

Office of Data Processing: Put together programs used by computers.

Personnel: applicants for agency employ.
all agency employees

(true name index)
DDO has central index which X-refs. true names, cryptonyms, pseudonyms & 201 numbers.